



Goddard Procedural Requirements (GPR)

DIRECTIVE NO. GPR 2800.2
EFFECTIVE DATE: October 7, 2011
EXPIRATION DATE: October 7, 2016

APPROVED BY Signature: Original signed by
Arthur F. Obenschain for
NAME: Robert Strain
TITLE: Director

COMPLIANCE IS MANDATORY

Responsible Office: Code 703/Business and Investment Management Office

Title: CPIC: Information Technology Investment Management & Reporting Process

PREFACE

P.1 PURPOSE

The following Goddard procedural requirements (GPR) will provide the Center with a standard information technology (IT) Investment Management & Reporting Process to ensure compliance with Goddard's Capital Planning and Investment Control (CPIC) Framework. The GPR provides staff with practical information designed to help improve the understanding of IT planning at Goddard, in addition to the required communication and collaboration of IT investments for Goddard's IT Portfolio Management.

The defined process in this GPR is in accordance with the Clinger-Cohen Act of 1996, which mandates Government agencies use a disciplined process to acquire, use, maintain and dispose of IT, and OMB A-11 Capital Programming Guide that defines the process to implement mandate. CPIC is a structured, integrated approach to managing IT investments throughout the lifecycle (acquire, use and maintain), and is the primary framework for making investment decisions, assessing investment effectiveness and refining investment related policies and procedures. The Goddard IT Investment Management and Reporting Process also aligns to the NASA Procedural Requirements (NPR) 2800.1, Managing Information Technology, and NPR 9420.1, Budget Formulation (PPBE), and shall delineate procedures for the proper development, review and submission of information needed to satisfy reporting requirements as defined in the Federal Office of Management and Budget (OMB) Circular A-11 and annual NASA Strategic Planning Guidance (SPG).

P.2 APPLICABILITY

The defined procedural requirements will be applicable and serve as a guide to familiarize all Goddard Organizations that support IT investments and their respective staff with the approach that Goddard OCIO uses to identify, fund and manage investments. The guide is applicable to all IT investments, to include services, activities and/or projects that contain IT. Goddard accepts IT Investments as anything that contains information technology (IT) as defined by the Clinger-Cohen Act, definition included in appendix A.

P.3 AUTHORITIES

CHECK THE GSFC DIRECTIVES MANAGEMENT SYSTEM AT
<http://gdms.gsfc.nasa.gov> TO VERIFY THAT THIS IS THE CORRECT VERSION PRIOR TO USE.

DIRECTIVE NO.	<u>GPR 2800.2</u>
EFFECTIVE DATE:	<u>October 7, 2011</u>
EXPIRATION DATE:	<u>October 7, 2016</u>

- a. Clinger-Cohen Act, 40 USC 11101
- b. NPD 2800.1, Managing Information Technology
- c. NPR 2800.1B, Managing Information Technology

P.4 APPLICABLE DOCUMENTS

- a. OMB Circular A-11, Preparation, Submission, and Execution of the Budget (OMB Circular A-11), and related OMB Memoranda (updated annually by OMB)
- b. OMB Circular A-130, Management of Federal Information Resources (OMB Circular A-130), and related OMB Memoranda (updated annually by OMB)
- c. Federal Acquisition Regulation (FAR) Part 39: Acquisition of Information Technology
- d. GAO Executive Guide GAO-04-394G, Information Technology Investment Management, A Framework for Assessing and Improving Process Maturity
- e. NIST Special Publication SP 800-65, Integrating IT Security into the Capital Planning and Investment Control Process (rev1 in current draft form, final version expected 2011 with new title)
- f. NPR 7120.5, NASA Space Flight Program and Project Management Requirements
- g. NPR 7120.7, NASA Information Technology and Institutional Infrastructure Program and Project Management Requirements
- h. NPR 7120.8, NASA Research and Technology Program and Project Management Requirements
- i. Annual NASA Strategic Planning Guidance (updated annually by NASA)
- j. Annual Program Resources Guidance (updated annually by NASA)

P.5 CANCELLATION

None.

P.6 SAFETY

None.

P.7 TRAINING

None of the below training is mandatory, but strongly encouraged for all Goddard Organizations and staff supporting or managing an IT investment.

7.1 IT Investment Reporting 101. Annually, the Information Technology and Communications Directorate's Business and Investment Management Office (BIMO) offers and hosts an IT Investment Reporting 101 training course. Course is available to all those new to the process or would like a refresher on Goddard's current CPIC and Investment Management and Reporting Process. Course highlights the purpose and procedures of this document and more specifically, furthers the understanding of the Federal and Agency mandates for investment reporting, controlling and evaluating, as well as Center IT Portfolio Management.

7.2 NASA OCIO Exhibit 300, A-11 Section 300. All Major IT Investment preparers are requested to attend the NASA OCIO's Exhibit 300 Preparers Workshop, held annually in parallel to the release of

CHECK THE GSFC DIRECTIVES MANAGEMENT SYSTEM AT
<http://gdms.gsfc.nasa.gov> TO VERIFY THAT THIS IS THE CORRECT VERSION PRIOR TO USE.

OMB A-11 Section 300 100% Solution for the Exhibit 300 development and submission requirements. Workshop aids in final development of current budget year submissions and explanation of OMB guidance and requirements.

7.3 GSFC IT PR Tool Refresher Course. Annually, Goddard's Office of the Chief Financial Officer's (OCFO) Financial Systems Office (FSO), in collaboration with ITCD's BIMO, provides training for using the IT Purchase Request (ITPR) Tool. The ITPR Tool is used to track and measure the Center's actual spending for IT.

P.8 RECORDS

Official records for Agency-wide IT Investment Management and Reporting are recorded via the Agency Information Management System (IMS) Primavera ProSight and maintained by the Agency OCIO; however, Goddard documentation will be maintained and recorded as defined below.

Record Title	Record Custodian	Retention
Summary Investment Business Case "IT Capital Investment Records"	CPIC Coordinator/ BIMO (Information Technology & Communication Directorate)	*NRRS 2/26C. Destroy/delete when 7 years old or when no longer needed, whichever is later. Cut off annually. [grs27-1]
NASA Exhibit 53 "IT Capital Investment Records"	CPIC Coordinator/ BIMO (Information Technology & Communication Directorate)	*NRRS 2/26C.
NASA Exhibit 300 "IT Capital Investment Records"	CPIC Coordinator/ BIMO (Information Technology & Communication Directorate)	*NRRS 2/26C.

*NRRS – NASA Records Retention Schedules ([NPR 1441.1](#))

P.9 MEASUREMENT/VERIFICATION

9.1 Summary Investment Business Case

All IT Investments shall be thoroughly documented, described and portrayed in a Summary Investment Business Case (SIBC). Investments that are merged into a single SIBC, shall be controlled at the investment level to ensure defined scope, cost and schedule are met, and to distinguish accuracy, security and data integrity while furthering the understanding and traceability in the Goddard IT Portfolio.

SIBCs shall document:

- All IT Investments to include services, activities and projects;
- An IT investment supporting an organization or a mission;
- A single or collection of systems providing a specific capability;

- d. The investment non-technical description, background, and traceability to Federal, Agency and Center mandates to include planned deliverables and milestones;
 - e. Applicable traceability to system security plans;
 - f. Current investment state to delineate steady state (on-going) and development/modernization/enhancement (DME) efforts and functions;
 - g. Funding by Major IT Activities, 6-Digit Project Code and Agency Appropriations; and
- SIBCs shall not create multiple SIBCs for a function unless the investments are being funded and managed in that manner.

9.1.1 SIBCs are used to:

- 9.1.1.1 Account for all IT investments and related spending;
- 9.1.1.2 Enable the alignment of IT requirements with the budget process; and
- 9.1.1.3 Facilitate the analysis, evaluation and decision process of both the IT and GSFC governance discipline, as it aids in defining and assessing the Goddard IT portfolio.

9.2 Center IT Purchase Request (PR) Tool

9.2.1 To track and measure Center actual expenditures for quarterly, semi-annual and annual assessments, individuals responsible for submitting spending for information technology via SAP shall use the IT PR Format. The Center's Regional Finance Office may confirm appropriate alignment to IT portfolio area and material code; if any PR seems questionable the PR is marked "questionable" and available for review by BIMO in order to move forward.

9.2.2 The IT PR Tool allows BIMO to run reports on a monthly basis to check accuracy against Center IT budget plans and provide reports of overall Center IT spending to Center governance bodies, including the CIO Technical Advisory Committee (CIOTAC) for debriefing.

PROCEDURES

1.1 IT Investment Life Cycle (CPIC Framework)

- 1.1.1 The GSFC Investment Management & Reporting Process follows the tenets established by the Clinger-Cohen Act and OMB's guidance for a defined, integrated CPIC framework which stipulates that adequate utilization of IT in an organization may be achieved by executing an interacting flow of data through four sequential, continual phases: Pre-Select, Select, Control and Evaluate, and as highlighted in Figure 1.



Figure 1 CPIC Framework

1.1.2 Evaluation criteria for each of the defined phases are specified each year to address the current strategic, tactical and fiscal environments from Federal, Agency, Center, and Program perspectives. Therefore, the evaluation criteria are not included in this GPR, but will be provided as part of the annual guidance issued prior to the start of the below phases and defined procedures.

1.2 IT Investment Life Cycle Annual Process

The IT investment life cycle is aligned to Goddard's Planning, Programming, Budgeting, Execution (PPBE) process that drives budget formulation and execution for the CFO on an annual basis, kicked off each fiscal year to define the approaching budget year (plus two years out).

Annual Workflow:

- The Goddard CFO kicks off the PPBE-budget year (BY) process to the Goddard Resource community and issues guidelines.
- The BIMO/CPIC Coordinator develops template, guidance and criteria to align to current strategic, tactical and fiscal environment from the Federal, Agency, Center and Program.
- The BIMO/CPIC Coordinator hosts BY IT Investment Reporting Kick off to all IT Investment POCs and distributes guidance and requirement documentation, templates (CFO & CIO) and BY IT reporting schedule.
- The BIMO/CPIC Coordinator organizes required investment and governance reviews.
- The BIMO/CPIC Coordinator provides support to all IT Investment POCs on a continual basis throughout all phases of the CPIC Framework.

1.2.1 Pre-Select Phase: IT Project Managers/Investment Owners propose IT initiatives (new or continuing) that support the strategic plans and mission, and have a defined business objective and set of requirements. The IT governing boards review deliverables and alignment to Agency and Center strategic goals. Promising IT investments are chosen for further analysis under the Select Phase.

Pre-Select Workflow:

1.2.1.1 Identify new customer requirements and business objectives.

1.2.1.2 Perform and develop background, research and alternative analysis to identify the correct solution to the new requirements/ objectives.

1.2.1.3 Develop or update a SIBC (investment) request that clearly states:

- a. Defined objective and purpose;
- b. Identified risks and vulnerabilities;
- c. Projected budget plan and required resources;
- d. Proposed added business value; and
- e. Researched alternative analysis.

1.2.1.4 Submit for review by the defined Goddard IT governance structure.

1.2.1.5 Top ranked investments will be “selected” to move into the CPIC: Select Phase.

1.2.2 **Select Phase:** Investment analyses are conducted on all legacy and new investments to screen, rank and select for inclusion in the Goddard IT Portfolio. The Select Phase ensures that only the investments that best support the mission, business objectives and roadmap to enterprise architecture are chosen. The process provides a framework for initiatives, on-going activities and overguide requests to be selected in an objective and consistent manner, and properly vetted and reviewed by the defined Goddard governance structure. Investments in this stage of the CPIC framework are required to illustrate a well-documented business case, defined program/ project management, estimated life-cycle costs and benefits, defined performance expectations, refined acquisition strategy, security and privacy planning and enterprise architecture alignment. Investments that demonstrate the above, and prove to be the most efficient and effective investment option are selected, and implemented through the acquisition process to then be monitored and controlled.

Select Workflow:

1.2.2.1 Identify selected new requests from the Pre-Select Review.

1.2.2.2 Review and confirm legacy investments to ensure accuracy and authenticity of the investment.

1.2.2.3 Define IT guideline by appropriation in accordance to the CFO’s PPBE budget formulation process.

1.2.2.4 Identify inguide versus overguide investments.

1.2.2.5 Coordinate Goddard IT Discipline reviews to develop an analysis across the strategic goals and requirements.

1.2.2.6 Submit for review by the Goddard tiered governance structure to be screened, ranked and selected.

1.2.2.7 Submit selected investments to the Agency OCIO via Primavera ProSight to be reported on the Agency Exhibit 53.

1.2.2.8 CIO & CPIC Coordinator report the Goddard IT Portfolio (to include all IT Investments) to the NASA Office of the CIO (OCIO).

1.2.2.9 NASA Exhibit 53 & Goddard Exhibit 300s are reported to OMB.

- 1.2.3 **Control Phase:** IT Project Investment Owners work to keep IT investments in line with their planned scopes. The objective of the Control Phase is to ensure, through timely oversight, quality control and executive review, that IT investments are managed in a controlled and consistent fashion. The Control Phase continues to monitor and examine IT investment throughout the life-cycle, to include, but not limited to, daily/monthly tracking of executable IT budget against plan, monthly status reviews, earned value management (EVM) or EVM-like management practices and operational analysis. For Major IT Investments, this includes the monthly report of cost and schedule on the Federal IT Dashboard which is accessible by the American Public.

Control Workflow:

1.2.3.1 Continue operation, or begin development of all “selected” investments.

1.2.3.2 Align to defined respective organization status review procedures for all investments to ensure continuous monitoring of performance, cost and schedule.

1.2.3.3 As required, complete an ‘operational analysis’ as defined by the CPIC Coordinator and submit to BIMO for a coordinated review by the IT Governance structure.

- 1.2.4 **Evaluate Phase:** IT Investment Owner and CPIC Coordinator evaluate investment year-end funding actuals to compare to reported budget plans to ensure accurate and consistent execution. Goddard Enterprise Architect, Information Security Manager and Project Management Office (PMO) ensure that the IT investment met planned mission performance, and a full evaluate analysis is documented to include customer feedback, tracking of achievements, operational excellence and workforce. IT investments that no longer require development/modernization/enhancement management are continued through operations and maintenance management, and legacy/sustaining investments are continuously monitored for possible retirement or project closeouts as new IT initiatives are examined and selected.

Evaluate Workflow:

1.2.4.1 Complete the CPIC Evaluate Template for all “control” investments to include:

- Identification of investment accomplishments;
- Explanation to possible variances from investment proposal and plans;
- Identification of existing risks and vulnerabilities; and
- Documentation of customer feedback, operational and performance status and workforce.

1.2.4.2 Submit all Evaluate Templates to CPIC Coordinator.

1.2.4.3 CPIC Coordinator organizes review by IT Disciplines and Goddard IT governance structure.

CHECK THE GSFC DIRECTIVES MANAGEMENT SYSTEM AT
<http://gdms.gsfc.nasa.gov> TO VERIFY THAT THIS IS THE CORRECT VERSION PRIOR TO USE.

1.2.4.4 Feedback and actions are provided to IT Investments and annual Pre-Select and Select phases are initiated.

1.3 Roles & Responsibilities

1.3.4 GSFC Chief Information Officer (CIO)

The Goddard Chief Information Officer (CIO) is responsible for development, coordination and overall management of IT investments and assets for GSFC, to include overall management of Institutional IT Investments and influence over Programmatic IT Investments. The CIO oversees GSFC compliance with Federal and Departmental policies, guidelines and regulations governing the management of these investments and assets.

1.3.5 GSFC Enterprise Architect

The Goddard Enterprise Architect shall:

- a. Ensure IT investments are reducing the identified business gaps;
- b. Ensure IT investments optimize assets and resources to meet mission objectives and avoid wasteful duplication or overlap;
- c. Ensure IT investments align to the Goddard IT strategic goals and business objectives; and
- d. Ensure the IT investment is traceable to the Goddard Business Reference Model and represented in a layered Goddard Architecture.

1.3.6 GSFC Senior Center Information Security Officer

The GSFC Information Security Manager shall:

- a. Ensure all ongoing activities serve to provide appropriate access;
- b. Ensure all ongoing activities protect the confidentiality and integrity of information;
- c. Ensure IT Investments and information security parameters are in compliance with Federal and Agency laws and regulations;
- d. Ensure IT investments maintain monitoring and tracking of risks, vulnerabilities and plan of actions and milestones (POA&Ms); and
- e. Ensure IT Investments properly account for applicable Goddard system security plans.

1.3.7 GSFC IT PMO Leadership

The GSFC IT PMO Leadership shall:

- a. Ensure project performance, risk analysis and quality control through utilization of business processes, governance processes and IT program/project management methodology;
- b. Ensure coordination with Investment Project Managers;
- c. Ensure that all investments are defined as projects plan, executed to plan, and finalized in compliance with NPRs 7120.5/.7/.8 Project Management (PM) requirements; and

- d. Ensure consultation of PMO team members and third-party contractors or consultants in order to deliver projects according to plan.

1.3.8 GSFC IT Manager

The IT Manager shall:

- a. Act as a liaison to Goddard organizations and IT Investment Owners;
- b. Ensure communication of IT policy and IT Investment Management/ Reporting requirements; and
- c. Provide support in reviewing the organizations SIBCs.

1.3.8.1 Additional roles, as they relate to the IT Investment Reporting Process, may be delegated to or taken on by the IT Manager.

1.3.9 GSFC CPIC Coordinator

The GSFC CPIC Coordinator shall:

- a. Ensure that Federal and Agency guidance is incorporated into Goddard IT Investment Management and Reporting Processes;
- b. Ensure that the CPIC framework is implemented across Goddard to properly define and report the Goddard IT Portfolio;
- c. Ensure alignment and appropriate integration of Office of the Chief Financial Officer's budget formulation and execution activities, and CIO deliverables;
- d. Ensure coordination with the Goddard IT Disciplines (Enterprise Architecture, Information Security and the Project Management Office) and IT management processes;
- e. Provide direct support to the IT Managers, stakeholders and investment owners in completing the requirements and continued control of IT investments; and
- f. Provide continued analysis, reviews and assessments to the IT governance bodies, stakeholders, customers and Goddard CIO.

1.3.10 IT Investment Owner

The IT Investment Owner shall:

- a. Ensure completion of the Goddard IT investment reporting requirements and associated activities for the defined IT investment; and
- b. Ensure coordination with Goddard CPIC Coordinator to ensure the investment completes required reviews and evaluations.

Any of these responsibilities may be delegated to an identified SIBC POC; however, the IT Investment Owner will remain accountable.

1.3.11 IT Investment Project Manager

The IT Investment Project Manager shall:

DIRECTIVE NO.	<u>GPR 2800.2</u>
EFFECTIVE DATE:	<u>October 7, 2011</u>
EXPIRATION DATE:	<u>October 7, 2016</u>

Ensure compliance to investment plan, execution and finalization with NPRs 7120.5/.7/.8 PM requirements.

1.3.12 IT Investment Resource Analyst

The IT Investment Resource Analyst shall:

- a. Ensure accuracy in the financial data reported as part of the SIBC; and
- b. Ensure consistency with the budget formulation and execution activities.

1.4 IT Investments

1.4.1 Major IT Investments

1.4.1.1 All Major Capital IT Investments, in all Government Agencies, are required by OMB Circular A-11 Part 7 to submit an annual business case document called the Exhibit 300, in addition to the SIBC. This document provides specific information regarding the performance gap the investment closes, description of how it accomplishes this closure, financial profile, acquisition strategy, risk management and enterprise architecture alignment, among others.

1.4.1.2 At GSFC, Mission Directorates currently own the Exhibit 300 investments and, therefore, are accountable and responsible for developing, updating and submitting the document per NASA OCIO and OMB guidelines. The Mission Directorate will also conduct, as the final governance body, a decisional review for approval of the Major IT Investment.

1.4.1.3 The CPIC Team works with the Exhibit 300 preparers to ensure appropriate GSFC CIO Coordination and Center informative IT governance review is met. The CPIC Team ensures that compliance is met through open conference and consultation for completing the Exhibit 300, in addition to ensuring all Agency and OMB required documentation (i.e., Security, Acquisition, Risk Management, Performance Management and other plans) are recorded and available for supplemental aid to meet requests from the Agency and OMB.

1.4.1.4 Major IT Investments must ensure that proper investment baseline management is demonstrated to ensure clear evidence of the existence of an Agency policy that addresses the following: 1. Establishment of Investment Baseline, 2. Re-baselining an Investment (changes to original baseline in either cost, schedule or performance areas) Note: The Business and Investment Management Office has designed a Re-Baseline Evaluation template to document any baseline changes, 3. Notification to OMB of new and changed baselines, 4. Managing and monitoring baselines via the use of Performance Management Systems, 5. Federal IT Dashboard Reporting Requirements

1.4.1.5 As part of the control activities and management of all major IT investments, investment owners must provide OMB-mandated monthly updates to the Federal IT Dashboard. According to USASpending.Gov: "The IT Dashboard displays data received from agency reports to the Office of Management and Budget (OMB), including general information on over 7,000 Federal IT investments and detailed data for nearly 800 of those investments that agencies classify as "major." The performance data used to track the 800 major IT investments is based on milestone information displayed in agency reports to OMB called "Exhibit 300s." Agency CIOs are responsible for evaluating and updating select data on a monthly basis, which is accomplished

through interfaces provided on the website. For more information and examples of the IT Dashboard measures please visit: <http://www.whitehouse.gov/open/innovations/it-dashboard>.

1.4.1.6 For monthly reporting updates on the Federal IT Dashboard please visit: <http://it.usaspending.gov> for complete listing of all Federal Major IT Investments and current reporting requirements.

1.4.2 Non-Major IT Investments

1.4.2.1 Programmatic IT Investments

Goddard IT investments that are funded by programmatic funds, to include all appropriations other than Cross Agency Support (CAS), are required to go through an informative governance review structure and fitting management practice. The Programmatic Investment Management and Reporting Process is aligned to the OCFO's Center Management & Operations (CM&O) PPBE process and deliverables, to ensure reporting accuracy and efficiency. Additional material and assistance for the process is provided on an annual basis, to include Federal, Agency and Goddard guidance and requirements.

The decisional governance process for programmatic investments is completed through the investment's respective Mission Directorate at the NASA-Agency level.

1.4.2.2 Institutional IT Investments

Goddard IT investments that are funded by institutional funds, to include the CAS appropriation, are required to go through a decisional governance management and review structure. The Institutional Investment Management and Reporting Process is aligned to the OCFO's CM&O PPBE process and deliverables, to ensure reporting accuracy and efficiency. Additional material and assistance for the process is provided on an annual basis, to include Federal, Agency and Goddard guidance and requirements.

Appendix A – Definitions

- A.1 **Activity (IT Investment Type)** - A set of actions designed to achieve a particular result. Activities are usually defined as part of the Processes or Plans, and are documented in procedures.
- A.2 **Alternatives analysis** - Analysis of alternative approaches to addressing the performance objectives of an investment
- A.3 **Capital Planning and Investment Control (CPIC)** - Is a structured, integrated approach to managing information technology (IT) investments. It is the primary process for making investment decisions, assessing investment process effectiveness, and refining investment related policies and procedures. It ensures that all IT investments align with the agency's mission and support business needs while minimizing risks and maximizing returns through the investment's lifecycle.
- A.4 **Development/Modernization/Enhancement (DME)** - Program cost for: 1.) new investments resulting in systems or applications not currently in the portfolio, 2.) new investments replacing existing legacy systems or applications, 3.) major changes or modifications to existing systems that significantly improve capabilities or 4.) Performance and also exhibiting the following criteria: requiring a full project effort governed under NPRs 7120.5/.7/.8 with associated deliverables and key milestone/phase reviews with the Agency/Center PMC/IT PMB bodies, (typically 7120.5 Project Phases A through D; 7120.7 Project Phases A through E). Requiring and resulting in a new recertification and accreditation effort. 5.) Changes mandated by the Congress or agency leadership.
- A.5 **Earned Value Management (EVM)** - Management tool that effectively integrates investments scope of work with schedule and cost elements for optimum investment planning and control.
- A.6 **Exhibit 53** - The Exhibit 53 is a defined OMB format to track and define Agency's IT Portfolios, for OMB review and evaluation of IT spending, and trending/comparison across Federal Government. NASA is required to submit one Exhibit 53 annually to report the Agency IT Portfolio, and is organized by NASA Centers and mission and business objectives. Goddard is responsible for ensuring that all SIBCs are properly documented, justified, and reported via the Agency's Information Management System (IMS) Primavera ProSight. Goddard's OCIO and IT Investment Owners are accountable for ensuring correct alignment on the NASA Exhibit 53, appropriate representation of the Center's IT spending and approved alignment to the mission and business strategic objectives. Please note that all Major IT Investments (submitted Exhibit 300's) should appear as a direct line on the NASA Exhibit 53.
- A.7 **Exhibit 300** - The Exhibit 300 supports the budget justification and reporting requirements for Major IT Investments. Major IT Investments are expected to complete both the SIBC and Exhibit 300 annually to adhere to the OMB requirement (OMB Circular A-11 Sec. 53 & 300). The Exhibit 300 captures consistent data with what is reported in the SIBC, but further extends the reporting and analysis of cost and schedule, performance, contract management, alternative analysis and risk register. Although the format is defined by OMB, management and control of the Major IT Investment should not be limited to the reporting fields, and

supplemental data may be requested at any time throughout the investments life-cycle by OMB.

- a. **Evolving (IT Investment Framework Type)** - Develop incremental improvements in support of business growth.
- A.8 **Federal IT Dashboard** - The IT Dashboard is a website enabling Federal agencies, industry, the general public and other stakeholders to view details of Federal information technology investments. The purpose of the Dashboard is to provide information on the effectiveness of Government IT programs and to support decisions regarding the investment and management of resources. The Dashboard is now being used by the Administration and Congress to make budget and policy decisions.
- A.9 **Information Technology (IT) (as defined in Clinger-Cohen Act)** - The term “information technology” with respect to an executive agency means any equipment or interconnected system or subsystem of equipment, that is used in the automatic acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of data or information by the executive agency. For purposes of the preceding sentence, equipment is used by an executive agency if the equipment is used by the executive agency directly or is used by a contractor under a contract with the executive agency which (i) requires the use of such equipment, or (ii) requires the use, to a significant extent, of such equipment in the performance of a service or the furnishing of a product. The term “information technology” includes computers, ancillary equipment, software, firmware and similar procedures, services (including support services), and related resources. The term “information technology” does not include any equipment that is acquired by a Federal contractor incidental to a Federal contract. (Consult OMB A-11 definition for annual updates and guidance)
- A.10 **Legacy Investment** - IT Investment that has been previously awarded and continues to answer a defined requirement.
- A.11 **Major IT Investment** - A project or service defined as a Major IT Investment will submit an Exhibit 300 to OMB if it meets any one of the following criteria: 1. Effort has been given high executive visibility or special management attention due to its importance to the NASA mission/function, regardless of cost. This means an investment that: 2. Has significant program or policy or privacy implications, 3. Is an integral part of the Agency’s modernization blueprint (NASA Enterprise Architecture), 4. Is designated by the NASA CIO to be a Major IT investment as it supports the NASA IT Portfolio and recommendation from OMB.
 - a. A financial management support system estimated to cost more than \$500,000 in any one fiscal year.
 - b. An activity, function, or project, either DME or SS, requesting funds of \$20M in any one fiscal year
 - c. Or, total investment costs of \$40M or more over a five year period. (Five years= PY/CY/BY/BY+1/BY+2)
- A.12 **Management and Operations** - This category captures the remaining CIO overhead functions including management of information assets and implementation of NASA and

Federal IT-related policies, procedures, regulations, and legislation. This activity includes investment specific management functions such as project management, budgeting, administrative support, and supplies.

- A.13 **Project (IT Investment Type)** - A temporary organization with people and other assets required to achieve an objective or other outcome. Each project has a lifecycle that typically includes initiation, planning, execution. Projects are managed using formal methodology.
- A.14 **Risk register** - Serves a repository of risk information including the data understood about risks over time. Typically a risk register contains a description of the risk, the impact if the risk should occur, the probability of its occurrence, mitigation strategies, risk owners and a ranking to identify higher priority risks.
- A.15 **Service (IT Investment Type)** - Means of delivering a value to customers by facilitating outcomes customers want to achieve without the ownership of specific costs and risks.
- A.16 **Steady State (SS)** - IT that is maintenance and operation costs at current capability and performance level including: 1. Maintenance and operation of existing information systems, to include minor development, efforts not requiring full NPR 7120 projects, 2. Costs for personnel, including both contractors and government FTE, 3. On-going technology refreshments performed to support specified baseline or operational requirements, 4. Voice and data communications maintenance, including equipment replacement, 5. Replacement of broken or outdated IT equipment (servers, printers, disk drives), and 6. Service contracts.
- A.17 **Sustaining (IT Investment Framework Type)** - Maintain and operate existing functionality within the enterprise.
- A.18 **Transforming (IT Investment Framework Type)** - Implement technology systems that create a paradigm shift which transforms the business model of the enterprise.

Appendix B – Acronyms

BIMO	Business and Investment Management Office
CAS	Cross Agency Support
CIO	Chief Information Officer
CIOTAC	CIO Technical Advisory Board
CPIC	Capital Planning and Investment Control
DME	Development/ Modernization/ Enhancement
EA	Enterprise Architecture
GSFC	Goddard Space Flight Center
IMS	Information Management System
IT	Information Technology
IRM	Information Resources Management
ITIM	IT Investment Management
ITMB	IT Management Board
NPR	NASA Procedural Requirements
OCIO	Office of the Chief Information Officer
OCFO	Office of the Chief Financial Officer
OMB	Office of Management and Budget
POC	Point of Contact
PPBE	Planning, Programming, Budgeting and Execution Process
PR	Purchase Request
PRG	Program Resource Guidance
SAP	(Defined in German)
SIBC	Summary Investment Business Case
SME	Subject Matter Expert
SS	Steady State
SPG	Strategic Planning Guide
SPO	Strategy and Planning Office
WBS	Work Breakdown Structure

DIRECTIVE NO. GPR 2800.2
EFFECTIVE DATE: October 7, 2011
EXPIRATION DATE: October 7, 2016

Page 16 of 16

CHANGE HISTORY LOG

Revision	Effective Date	Description of Changes
Baseline	October 7, 2011	Initial Release

CHECK THE GSFC DIRECTIVES MANAGEMENT SYSTEM AT
<http://gdms.gsfc.nasa.gov> TO VERIFY THAT THIS IS THE CORRECT VERSION PRIOR TO USE.